

RECEIVED  
CENTRAL FAX CENTER

SEP 14 2006

# HAMRE, SCHUMANN, MUELLER & LARSON, P.C. AN INTERNATIONAL INTELLECTUAL PROPERTY LAW FIRM

FAX TRANSMISSION SEPTEMBER 14, 2006

TO: Commissioner for  
Patents- MS AF  
Attn: Examiner Julian W. Woo  
Patent Examining Corps  
Facsimile Center  
Washington, D.C. 20231

FROM: JAMES A. LARSON

OUR REF: 20043.0003USD4  
TELEPHONE: (612) 455.3800

Total pages, including cover letter: 95

PTO FAX NUMBER: 571.273.8300

If all pages are NOT received, please call us at 612.455.3800 or fax us at 612.455.3801.

Documents transmitted: SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT,  
**FORM 1449, 2 REFERENCES, EP SEARCH REPORT DATED 14.8.06**

Applicant: KAPLAN et al.  
Serial No.: 10/007,364  
App. Filed: November 5, 2001  
Group Art No.: 3731

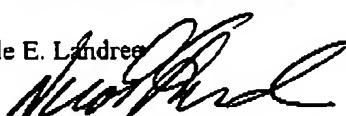
Please charge deposit account 50-3478 in the amount of \$180.00 for supplemental IDS fee.

Please charge any additional fees or credit overpayment to deposit account 50-3478.  
Please consider this a PETITION FOR EXTENSION OF TIME for a sufficient  
number of months to enter these papers, if appropriate.

By:   
Name: James A. Larson  
Reg. No.: 40,443

I hereby certify that this paper is being transmitted by facsimile to the U.S. Patent and Trademark  
Office on the date shown below.

Nicole E. Landree



Signature

SEPTEMBER 14, 2006

Date

225 SOUTH SIXTH STREET • SUITE 2650 • MINNEAPOLIS • MN 55402  
TEL 612.455.3800 • FAX 612.455.3801  
WWW.HSML.COM • MAIL@HSML.COM

SEP 14 2006

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: KAPLAN et al.

Examiner: J. J. Woo

Serial No.: 10/007,364

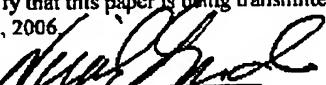
Group Art Unit: 3731

Filed: November 15, 2001

Docket: 20043.0003USD4

Title: METHODS AND APPARATUS FOR TRANSPERICARDIAL LEFT  
atrial appendage closure

CERTIFICATE UNDER 37 CFR 1.6(d): I hereby certify that this paper is being transmitted by facsimile to the U.S. Patent and Trademark Office on SEPTEMBER 14, 2006.

By:   
Name: NICOLE LANDREE

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

With regard to the above-identified application, the items of information listed on the enclosed Form 1449 are brought to the attention of the Examiner. Copies of any foreign patent documents or "Other Documents" are enclosed.

The references listed in the EP Search Report which are not cited in this IDS have been previously submitted.

In accordance with the provisions of 37 C.F.R. §1.97, this statement is being filed (CHECK ONE):

- (1) within three (3) months of the Filing Date, before the mailing date of a First Office Action on the merits, or before the mailing date of a First Office Action on the merits after the filing of a request for continued examination under 37 C.F.R. §1.114; or
- (2) after the period defined in (1) but before the mailing date of a Final Rejection or Notice of Allowance, and
  - the requisite Statement is below, OR
  - the requisite fee of \$180.00 under Rule 1.17(p) is included herein, or
- (3) after the mailing date of a Final Rejection or Notice of Allowance but on or before the payment of the Issue Fee, AND

09/14/2006 1624 612-455-3801 16246124553801.DOC  
PAGE 2/94 \* RCVD AT 9/14/2006 5:38:29 PM (Eastern Daylight Time) \* SVR:USPTO-EFXRF-1/2 \* DNIS:2738300 \* CSID:612-455-3801 \* DURATION (mm:ss):24-06

- the requisite Statement is below, AND  
 the requisite fee of \$180.00 under Rule 1.17(p) is included herein.

RECEIVED  
CENTRAL FAX CENTER

SEP 14 2006

### STATEMENT

As required under §1.97(e), Applicants hereby state either that:

1. Each item of information contained in the Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing date of the Information Disclosure Statement; or
2. No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual designated in §1.56(c) more than three months prior to the filing of the Information Disclosure Statement.
- If this box is checked, Applicant provides the following:

#### Certification Under 37 C.F.R. §1.704(d)

In accordance with 37 C.F.R. §1.704(d), the undersigned hereby certifies that each item listed on the enclosed Form 1449 was first cited in a communication from a foreign patent office in a counterpart application, and that this communication was not received by any individual designated in 37 C.F.R. §1.56(c) more than thirty (30) days prior to the filing of this Information Disclosure Statement.

- The Examiner is hereby advised of the following co-pending U.S. applications. A copy of each U.S. patent application publication (if published) or application (if not published) is enclosed.

Application No.

Filing Date

Group

No representation is made that a reference is "prior art" within the meaning of 35 U.S.C. §§ 102 and 103 and Applicants reserve the right, pursuant to 37 C.F.R. § 1.131 or otherwise, to establish that the reference(s) are not "prior art." Moreover, Applicants do not represent that a reference has been thoroughly reviewed or that any relevance of any portion of a reference is intended.

Consideration of the items listed is respectfully requested. Pursuant to the provisions of M.P.E.P. 609, it is requested that the Examiner return a copy of the attached Form 1449, marked as being considered and initialed by the Examiner, to the undersigned with the next official communication.

RECEIVED  
CENTRAL FAX CENTER

SEP 14 2006

FEE AUTHORIZATION

Should any fee associated with the submission of this paper not be attached hereto as a check, the Commissioner is authorized to charge the missing fee to our Deposit Account, No. 50-3478. Any overpayments should be credited to said Deposit Account.

Respectfully submitted,

HAMRE, SCHUMANN, MUELLER &  
LARSON, P.C.  
Post Office Box 2902  
Minneapolis, MN 55402-0902  
(612) 455-3800

Dated: SEPTEMBER 14, 2006

By: J. A. L.  
James A. Larson  
Reg. No. 40,443

JAL:nel

Date Mailed: SEPTEMBER 14, 2006

Sheet 1 of 1

<b>FORM 1449*</b> <b>SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT</b>  <b>IN AN APPLICATION</b>  (Use several sheets if necessary)	Docket Number: <b>20043.3USD4</b>	Application Number: <b>10/007,364</b>	
	Applicant: KAPLAN et al.	Filing Date: NOVEMBER 15, 2001	Group Art Unit: 3731
	 <b>RECEIVED</b> <b>CENTRAL FAX CENTER</b> <b>SEP 4 2006</b>		

**EXAMINER** \_\_\_\_\_ **DATE CONSIDERED** \_\_\_\_\_  
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form for next communication to the Applicant.